

Solicitation No. \_\_\_\_\_ FOCI Submittal For \_\_\_\_\_  
(Name of firm if different than offeror)  
Offeror \_\_\_\_\_  
(Name of Offeror)

## FOREIGN OWNERSHIP, CONTROL OR INFLUENCE

### PART I Summary FOCI Data Sheet

Provide responses to the questions identified below (supplemental pages may be attached to provide complete and accurate responses).

1. Type of business structure.  
( ) Corporation; ( ) College/University; ( ) Limited Liability Company; ( ) Sole Proprietorship;  
( ) Limited Partnership; ( ) General Partnership; ( ) Other (specify) \_\_\_\_\_
2. Exact (legal) name as specified in charter.  
\_\_\_\_\_
3. All other names used (i.e., dba [doing business as], aka [also known as]).  
\_\_\_\_\_
4. State or other jurisdiction of incorporation or organization \_\_\_\_\_
5. Date of incorporation or organization \_\_\_\_\_
6. Stock ownership: ( ) privately held, ( ) publicly traded.
  - a. Class(es) of stock \_\_\_\_\_
  - b. Number of shares authorized of each class of stock  
\_\_\_\_\_  
\_\_\_\_\_
  - c. Number of shares issued of each class of stock  
\_\_\_\_\_  
\_\_\_\_\_
  - d. Explain the difference(s) between each class of stock, to include voting rights.  
\_\_\_\_\_  
\_\_\_\_\_
  - e. Is cumulative voting authorized? ( ) Yes ( ) No

7. Current physical (street) address for the principal executive offices, individual point of contact and phone/fax numbers for FOCI matters, and the organization's facility security officer and phone number.

**Physical (street) address** \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Facility security officer** \_\_\_\_\_

**Phone/fax** \_\_\_\_\_

8. List all company names and/or address changes, and the date(s) of such change(s), for the principal executive offices during the past 10 years.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

9. List legal name(s) of all tier parent organizations, if applicable.

First-tier parent firm \_\_\_\_\_

Second-tier parent firm \_\_\_\_\_

Third-tier parent firm \_\_\_\_\_

Ultimate parent firm \_\_\_\_\_

10. Provide the current number of members of the company's board of directors. Include the name of the chairman of the board, if applicable.

\_\_\_\_\_

11. Will any parent organizations be performing work requiring access authorizations? If yes, identify by legal name the parent organization(s) name.

\_\_\_\_\_

12. Does your organization or any parent organization maintain DOD facility clearances? If yes, please provide the DOD cage code(s).

\_\_\_\_\_

## PART II

### FOCI Submittal Package Checklist

**For each submittal package, a separate checklist (see below) must be completed and submitted for the offeror, each tier parent, and/or lower-tier subcontractors.**

Solicitation Number \_\_\_\_\_

Offeror \_\_\_\_\_

1. This FOCI submittal package is for \_\_\_\_\_  
*(Company's Name)*

\_\_\_\_\_  
*(Relationship to Offeror)*

Point of contact, address and telephone/fax numbers for FOCI data for the above named company (complete only if this differs from information in Part I, Question 7)	
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Facility security officer, address, and telephone/FAX numbers for the above named company, if applicable. If not applicable, state "None." (Complete only if this differs from information in Part I, Question 7)	
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#### 2. Sole Proprietorship

##### **Sole Proprietorship Checklist**

- \_\_\_ The FOCI Representation and Certification form is attached, appropriately completed, signed, and dated.
- \_\_\_ An explanation is attached, signed, and dated for each affirmative response to the FOCI Representations and Certifications form.
- \_\_\_ A completed OODEP list is attached, signed, and dated. (The **spouse** of a Sole Proprietorship must be included)
- \_\_\_ Current consolidated financial information is attached, signed, and dated. Financial data shall include an income statement for the most recent complete 12 month period, including current and total assets, current and total liabilities, and the amount of revenue derived from foreign sources (if none, so state).
- \_\_\_ Copy of business registration/license (issued by the state) is attached.
- \_\_\_ The Summary FOCI Data Sheet (Part I) is attached.

### 3. Partnership

#### Partnership Checklist

- ☐ The FOCI Representations and Certifications form is attached, appropriately completed, signed, and dated.
- ☐ An explanation is attached, signed, and dated for each affirmative response to the FOCI Representations and Certifications form.
- ☐ A completed OODEP list is attached, signed, and dated.
- ☐ Consolidated financial information is attached, signed, and dated. *See Financial Data Requirements, below.*
- ☐ A partnership agreement, including all amendments, is attached and dated.
- ☐ The Summary FOCI Data Sheet (Part I) is attached.

### 4. Privately-Owned Corporation

#### Privately-Owned Corporation Checklist

- ☐ The FOCI Representations and Certifications form is attached, appropriately completed, signed, and dated.
- ☐ An explanation is attached, signed, and dated for each affirmative response to the FOCI Representations and Certifications form.
- ☐ A completed OODEP list is attached, signed, and dated.
- ☐ Consolidated financial information is attached, signed, and dated. *See Financial Data Requirements, below.*
- ☐ Articles of Incorporation, including all amendments, are attached, dated, and signed.
- ☐ Most recent Bylaws, including all amendments, are attached, dated, and signed.
- ☐ Company's Board Meeting minutes, which elected the current Board members and company officers, are attached.
- ☐ The Summary FOCI Data Sheet (Part I) is attached.

## 5. Publicly Held Corporation

### Publicly Held Corporation Checklist

- ☐ The FOCI Representations and Certifications form is attached, appropriately completed, signed, and dated.
- ☐ An explanation is attached, signed, and dated for each affirmative response to the FOCI Representations and Certifications form.
- ☐ A completed OODEP list is attached, signed, and dated.
- ☐ Articles of Incorporation, including all amendments, are attached, dated, and signed.
- ☐ Most recent Bylaws, including all amendments, are attached, dated, and signed.
- ☐ Current Annual Report is attached and dated.
- ☐ SEC Form 10K is attached and dated.
- ☐ Most recent SEC Forms 13D and 13G are attached and dated.
- ☐ The Summary FOCI Data Sheet (Part I) is attached.

## 6. Limited Liability Company

### Limited Liability Company Checklist

- ☐ The FOCI Representations and Certifications form is attached, appropriately completed, signed, and dated.
- ☐ An explanation is attached, signed, and dated for each affirmative response to the FOCI Representations and Certifications form.
- ☐ A completed OODEP list is attached, signed, and dated.
- ☐ Consolidated financial information is attached, signed, and dated. *See Financial Data Requirements, below.*
- ☐ Articles of Organization are attached.
- ☐ Agreement of Organization (similar to a corporation's Bylaws) is attached.
- ☐ Certificate of Organization (issued by the state) is attached.
- ☐ The Summary FOCI Data Sheet (Part I) is attached.

**FINANCIAL DATA REQUIREMENTS for all of the above.**

- Financial data must be for the **most recently completed 12-month accounting period**.
- **Audited** Financial Data is preferred. If audited financial data is not available, the financial data must be submitted (signed and dated) by the appropriate official (e.g., Chief Financial Officer) and certified as to the unavailability of audited information.
- **Financial data** must include revenue and net income, current and total assets, current and total liabilities, and stockholders' equity. Include the amount of income derived from foreign sources (detailed by country). If none exists, include a statement to that effect.

**REMINDER**

- **Duplicate FOCI submission packages are required for the Offeror, and for each tier-parent firm, including the ultimate parent.**
- **All certifications must be signed by an official listed on the respective OODEP list.**